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Form PTO-1449 (modified)

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Atty. Docket No. Graff-P2-98	Serial No. 09/134453
Applicant: Richard A. Graff	
Filing Date: August 14, 1998	Group: 2761

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Technology Center 2100

U.S. Patent Documents	Foreign Patent Documents	Other Art
See Pages 1-2	*See Page 2*	*See Page 2*

U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
	A1	3,581,072	May 25, 1971	Auction Market Computation System	340	172.5	Mar. 28, 1968
	A2	4,412,287	Oct. 25, 1983	Automated Stock Exchange	705	37	Sept. 15, 1982
	A3	4,674,044	Jun. 16, 1987	Automated Securities Trading System	364	408	Jan. 30, 1985
	A4	4,789,928	Dec. 6, 1988	Auction Information Transmission Processing	364	401	Jan. 30, 2987
	A5	4,823,265	Apr. 18, 1989	Renewable Option and Marketing System	705	35	May 11, 1987
	A6	4,903,201	Feb. 20, 1990	Automated Futures Trading Exchange	364	408	Nov. 3, 1983
	A7	4,980,826	Dec. 25, 1990	Voice Actuated Automated Futures Trading Exchange	364	408	Mar. 19, 1984
	A8	5,038,284	Aug. 6, 1991	Method and Apparatus Relating to Conducting Trade Transactions With Portable Trading Stations	705	37	Feb. 17, 1998
	A9	5,077,665	Dec. 31, 1991	Distributed Matching System	364	408	May 25, 1989
	A10	5,101,353	Mar. 31, 1992	Automated System for Providing Liquidity to Securities Markets	705	37	May 31, 1989
	A11	5,136,501	Aug. 4, 1992	Anonymous Matching System	364	408	May 26, 1989
	A12	5,220,500	Jun. 15, 1993	Financial Management System	364	408	Sept. 19, 1989

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U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
	A13	5,243,515	Sept. 7, 1993	Secure Teleprocessing Bidding System	364	401	Oct. 30, 1990
	A14	5,375,055	Dec. 20, 1994	Credit Management for Electronic Brokerage System	364	408	Feb. 3, 1992
	A15	5,774,880	Jun. 30, 1998	Fixed Income Portfolio Index Processor	705	36	Feb. 28, 1995
	A16	5,857,176	Jan. 5, 1999	Fixed Income Portfolio Data Processor	705	36	May 9, 1997

Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B1						
	B2						

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C1	Renata Morgenstern, "*Electronic Bidding for Municipal Bonds: Technology Innovations for Competitive Bond Sales*", Government Finance Review, Pgs. 23-25, February, 2000
	C2	Nicholas J. Dazzo, "*In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Clients With Timely Bond Data: Municipal bond dealers have never had it so easy*", Public Finance Technology, Pg. 12A, Vol. 289, No. 28217, August 29, 1989
	C3	"*JP Morgan and Capital Link In Bid to Develop Electronic Auction for Corporate Debt Securities*", Trading Systems Technology, Vo. 2, N20, April 24, 1989
	C4	Richard Richtmyer,"*Survey Shows Bond Market Is Warming Up to Electronic Trading*", The Bond Buyer, Vol. 321, No. 30213, August 20, 1997

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